

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
13038

In Re Application Of: Ian S. Zagon, et al.

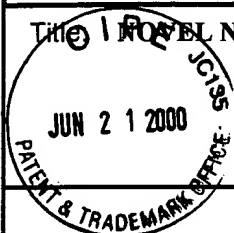
Serial No.  
09/431,843

Filing Date  
November 2, 1999

Examiner  
R. Landsman

Group Art Unit  
1646

Title: **NOVEL NUCLEIC ACID MOLECULES ENCODING OPIOID GROWTH FACTOR RECEPTORS**



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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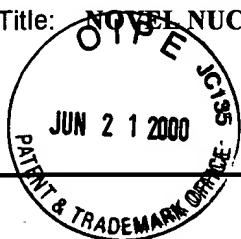
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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013/SSMP as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_) on

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on June 19, 2000 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Michelle Spina

Typed or Printed Name of Person Mailing Correspondence

\*This certificate may only be used if paying by deposit account.

Signature

Dated: June 19, 2000

Frank S. DiGiglio  
Registration No. 31,346

SCULLY, SCOTT, MURPHY & PRESSER  
400 Garden City Plaza  
Garden City, New York 11530  
(516) 742-4343

CC:



PATENTS

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicants:** Ian S. Zagon, et al.      **Examiner:** R. Landsman  
**Serial No.:** 09/431,843      **Art Unit:** 1646  
**Filed:** November 2, 1999      **Docket:** 13038  
**For:** NOVEL NUCLEIC ACID MOLECULES      **Dated:** June 19, 2000  
ENCODING OPIOID GROWTH FACTOR  
RECEPTORS

Assistant Commissioner for Patents  
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. U.S. Patent No. 5,266,574, dated 11/30/93;
2. Hytrek, S. D., et al. (1996) "Identification and characterization of  $\zeta$ -opioid receptor in human colon cancer", Am. J. Physiol. 271: R115-R121;

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CERTIFICATE OF MAILING UNDER C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on June 19, 2000.

Dated: June 19, 2000

Michelle Spina


3. Zagon, Ian S., et al. (1990) "Demonstration and characterization of zeta ( $\zeta$ ), a growth-related opioid receptor, in a neuroblastoma cell line", Brain Research 511: 181-186;
4. Zagon, Ian S., et al. (1991) "Zeta ( $\zeta$ ), a growth-related opioid receptor in developing rat cerebellum: identification and characterization", Brain Research 551: 28-35;
5. Zagon, Ian S., et al. (1993) "Zeta ( $\zeta$ ), the opioid growth factor receptor: identification and characterization of binding subunits", Brain Research 605: 50-56;
6. Zagon, Ian S., et al. (1989) "Characterization of zeta ( $\zeta$ ): a new opioid receptor involved in growth", Brain Research 482: 297-305;
7. Zagon, Ian S., et al. (1993) "Production and characterization of polyclonal and monoclonal antibodies to the zeta ( $\zeta$ ) opioid receptor", Brain Research 630: 295-302;
8. Zagon, Ian S., et al. (1987) "Opioid Receptors and Endogenous Opioids in Diverse Human and Animal Cancers <sup>1,2,3</sup>", JNCI 79(3): 1059-1065;
9. Zagon, Ian S., et al. (1989) "Opioid antagonist modulation of murine neuroblastoma: a profile of cell proliferation and opioid peptides and receptors", Brain Research 480: 16-28; and
10. Zagon, Ian S., et al. (1988) "Endogenous Opioids And The Growth Regulation Of A Neural Tumor", Life Sciences 43: 1313-1318.

Applicants are submitting copies of the above-cited references. All of the references are in English, therefore, no translations are required.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no petition, certification or fee is required.

Consideration of this Information Disclosure Statement  
is respectfully requested.

Respectfully submitted,



Frank S. DiGiglio  
Registration No. 31,346

SCULLY, SCOTT, MURPHY & PRESSER  
400 Garden City Plaza  
Garden City, New York 11530  
(516) 742-4343

FSD/XZ:ab